

RECEIVED  
CENTRAL FAX CENTER

KELLEY

DRYE

NOV 06 2006

## FACSIMILE TRANSMISSION

TO  
FIRM United States Patent and Trademark Office  
CITY Alexandria, VA  
FAX 571-273-8300  
PHONE  
NO. OF PAGES 10 (including this page)  
DATE November 6, 2006

KELLEY DRYE & WARREN LLP  
TWO STAMFORD PLAZA  
281 TRESSER BOULEVARD  
STAMFORD, CONNECTICUT  
06901-3229  
(203) 324-1400  
FAX (203) 327-2669

## MESSAGE:

Re: U.S. Patent Application No. 09/465,506  
Filing Date: December 16, 1999  
First Named Inventor: Lundberg  
Attorney Docket Number: ICON-102(US)

Enclosed please find the following: (i) Reply to Notice Regarding Power of Attorney; (ii) Statement Under 37 CFR 3.73(b); (iii) previously submitted Power of Attorney and Change of Correspondence Address; and (iv) Notice of Recordation of Assignment.

  
Thelma A. Chen Cleland, Reg. 40,948

FROM Thelma A. Chen Cleland  
PHONE (203) 351-8063  
E-MAIL [tchencland@kelleydrye.com](mailto:tchencland@kelleydrye.com)  
TIMEKEEPER ID 05236  
CLIENT NO. 090008.0089

NEW YORK, NY  
WASHINGTON, DC  
TYSONS CORNER, VA  
CHICAGO, IL  
STAMFORD, CT  
PARSIPPANY, NJ  
BRUSSELS

AFFILIATE OFFICES  
JAKARTA  
MUMBAI

IF PROBLEMS OCCUR DURING TRANSMISSION PLEASE CALL (203) 324-1400.

The information contained in this facsimile message is intended for the use of the individual or entity to which it is addressed and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee or agent responsible for delivery to the intended recipient, you are hereby notified that any use, copying, disclosure or dissemination of this communication may be subject to legal restriction or sanction.

RECEIVED  
CENTRAL FAX CENTER

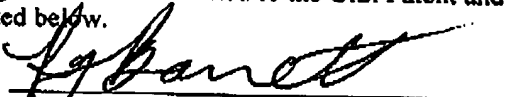
NOV 06 2006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: LUNDBERG, et al. Group Art Unit: 3693  
Serial No.: 09/465,506 Examiner: PAGEL, Jagdish  
Filing Date: December 16, 1999 Docket No.: ICON-102(US)  
Title: SYSTEM AND METHOD FOR SUPPORTING A SECURITY-TRADE  
FINANCING SERVICE

**Confirmation No.: 8959****CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that this correspondence is being facsimile transmitted to the U.S. Patent and Trademark Office at (571) 273-8300, on the date indicated below.

Date: November 6, 2006  
Rena J. Barrett

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REPLY TO NOTICE REGARDING POWER OF ATTORNEY**

Sir:

This letter is submitted in response to a Notice Regarding Power of Attorney ("Notice") that may have been mailed in the above-identified application. A copy of the Notice is not enclosed as Applicants did not received the Notice since the Office apparently erred in mailing the Notice to Pillsbury Winthrop Shaw Pittman LLP, who no longer represents Applicants. Additionally, the Revocation of Power of Attorney with New Power of Attorney and Change of Correspondence Address form (Form PTO/SB/82) filed on June 20, 2005 was filed by Applicants' present representatives (copy attached), Kelley Drye & Warren LLP. Accordingly, the Notice should have been mailed by the Office to the present representatives. Applicants became aware that the correspondence address had not been changed as a result of a call from the Examiner.

Attorney Docket No.: ICON-102(US)  
Serial No. 09/465,506

A proper Assignment has been recorded by the Office for Application Serial No. 09/465,506 under Reel /Frame 010468/0432 (copy of recordation data is attached). Through the Assignment, the entire title, and rights to the application as well as any continuation, divisional and continuation-in-part applications are assigned to Icon International Inc. from each of the inventors. Therefore, Applicants submit that a proper Assignment has been recorded with the Office for the present application, which assigns the rights to the application to Icon International Inc. Applicants enclose herewith Form PTO/SB/96 signed by an Officer of the assignee of record.

No fee is due with this communication; however, the Commissioner is hereby authorized to charge any fees required with this paper to Deposit Account No. 11-0404.

Dated: November 6, 2006

Respectfully submitted,

KELLEY DRYE & WARREN LLP  
Attorneys and Agents for Applicants

By: Thelma Chen Cleland  
Thelma A. Chen Cleland  
Reg. No. 40,948  
Two Stamford Plaza  
281 Tresser Boulevard  
Stamford, CT 06901  
Tel. (203) 351-8063  
Fax. (203) 327-2669

Enclosures

**RECEIVED**  
CENTRAL FAX CENTER

NOV 06 2006

PTO/SB/02 (04-03)

Approved for use through 11/30/2005. OMB 0551-0005  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	09/465,506
Filing Date	December 16, 1999
First Named Inventor	Lance Lundberg
Art Unit	3624
Examiner Name	Jagdish Patel
Attorney Docket Number	ICON-102

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number:

47670

☒ Please change the correspondence address for the above-identified application to:

☐ The address associated with  
Customer Number:

OR

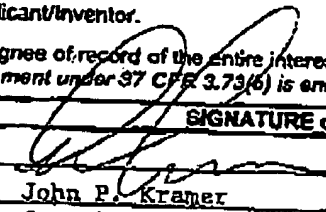
<input checked="" type="checkbox"/> Firm or Individual Name	KELLEY DRYE & WARREN LLP				
Address	TWO STAMFORD PLAZA 281 TRESSER BOULEVARD				
City	STAMFORD	State	CT	Zip	06901-3229
Country	US				
Telephone	203-324-1400	Email			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature			
Name	John P. Kramer		
Date	June 17, 2005	Telephone	(203) 328-2300

NOTE: Signatures of all the trustees or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

☐ Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-4199 and select option 2.

RECEIVED  
CENTRAL FAX CENTER

NOV 06 2006

PTO/SB/06 (12-05)

Approved for use through 07/31/2008, OMB 0551-0031

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Lundgren et al.Application No./Patent No./Control No.: 09/465,508Filed/Issue Date: December 16, 1999Entitled: System and Method for Supporting a Security-Trade Financing ServiceIcon International Inc.

a corporation

(Name of Assignee)

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010468, Frame 0432, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

[Signature] 11/6/06  
Signature Date

John P. Kramer

Printed or Typed Name

203-528-2300

Telephone Number

Chief Executive Officer

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public when it is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 and select option 2.

USPTO

6/20/2005 2:14 PM PAGE

1/001

Fax Server

TO:Auto-reply fax to 203 351 8128 COMPANY:

RECEIVED  
CENTRAL FAX CENTER

NOV 06 2006

## Auto-Reply Facsimile Transmission



TO:

Fax Sender at 203 351 8128

Fax Information

Date Received:

6/20/2005 2:11:35 PM [Eastern Daylight Time]

Total Pages:

2 (including cover page)

**ADVISORY:** This is an automatically generated return receipt confirmation of the facsimile transmission received by the Office. Please check to make sure that the number of pages listed as received in Total Pages above matches what was intended to be sent. Applicants are advised to retain this receipt in the unlikely event that proof of this facsimile transmission is necessary. Applicants are also advised to use the certificate of facsimile transmission procedures set forth in 37 CFR 1.8(a) and (b), 37 CFR 1.6(f). Trademark Applicants, also see the Trademark Manual of Examining Procedure (TMEP) section 306 et seq.

Received  
Cover  
Page  
=====

JUN 20 2005 2:05 PM FR KDW		203 351 8128 TO *20360808010000170 P.01	
TRANSMISSION			
FROM		Hans-Peter G. Hoffmann	
PHONE		(203) 351-8011	
E-MAIL		phoffmann@kelly-drye.com	
TIME RECEIVED		05:37	
CLIENT NO.		090001-0000	
<p>PLEASE CONFIRM RECEIPT OF THIS FACSIMILE TRANSMISSION.</p> <p>Kelly Drye &amp; Warren LLP 281 Trester Boulevard Stamford, CT 06901</p> <p>Please process accordingly. Change of Correspondence Address with reference to the above identified U.S. Patent Application.</p> <p>Please find enclosed an executed Revocation of Power of Attorney With New Power of Attorney and \$1.</p> <p>Re: U.S. Patent Application S/N 09/465,506 Our Ref: ICON - 102</p>			
MESSAGE:			
Firm			
U.S. Patent and Trademark Office			
City			
Washington, D.C.			
Fax			
703-872-9306			
No. of Pages			
2 (including this page)			
Date			
June 20, 2005			

FACSIMILE TRANSMISSION

TO

Extensive English Fund - Group Art Unit - 3624

PAGE 10/10

RECEIVED  
CENTRAL FAX CENTER

NOV 06 2006

## FACSIMILE TRANSMISSION

TO Examiner Jagdish Patel- Group Art Unit - 3624  
FIRM U.S. Patent and Trademark Office  
CITY Washington, D.C.  
FAX 703-872-9306  
PHONE  
NO. OF PAGES 2 (including this page)  
DATE June 20, 2005

MESSAGE: Re: U.S. Patent Application S/N 09/465,506  
Our Ref.: ICON - 102

Sir,

Please find enclosed an executed Revocation of Power of Attorney With New Power of Attorney and Change of Correspondence Address with reference to the above identified U.S. Patent Application. Please process accordingly.

Kelley Drye & Warren LLP  
Two Stamford Plaza  
281 Tresser Boulevard  
Stamford, CT 06901

PLEASE CONFIRM RECEIPT OF THIS FACSIMILE TRANSMISSION.

FROM Hans-Peter G. Hoffmann  
PHONE (203) 351-8011  
E-MAIL phoffmann@kelleydrye.com  
TIMEKEEPER ID 05237  
CLIENT NO. 090001-0000

CT01/TERRV/215483.1

DATE TIME TO/FROM MODE MIN/SEC PCS STATUS  
001 6/20 2:04P 900010000917038729306 EC S 00 37 002 OK  
JOB #651

KDW

NOV 06 2006 4:02 PM FR KDW

203 351 8150 TO 915712738300

RECEIVED 08  
CENTRAL FAX CENTER

RECEIVED

MAR 30 2000

CUMMINGS & LOCKWOOD

MARCH 24, 2000

CUMMINGS & LOCKWOOD  
JAMES W. JAKOBSEN, ESQ.  
FOUR STAMFORD PLAZA  
107 ELM STREET, P.O. BOX 120  
STAMFORD, CT 06904



PTAS

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231



\*101239111A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/16/1999

REEL/FRAME: 010468/0432  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
LUNDBERG, LANCE

DOC DATE: 12/15/1999

ASSIGNOR:  
VAN THIEL, GIJS F.J.

DOC DATE: 12/15/1999

ASSIGNEE:  
ICON INTERNATIONAL INC.  
281 TRESSER BOULEVARD  
TWO STAMFORD PLAZA, 8TH FLOOR  
STAMFORD, CONNECTICUT 06901

SERIAL NUMBER: 09465506  
PATENT NUMBER:

FILING DATE: 12/16/1999  
ISSUE DATE:



NOV 06 2006 4:03 PM FR KDW

203 351 8150 TO 915712738300

P.09

010468/0432 PAGE 2

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

cket No.: ICON-101484200.0003

FORM PTO-1595 (Modified)  
(Rev. 6-83)  
OMB No. 0651-0011 (exp. 4/94)  
Copyright 1994-97 LegalStar  
POB/REV03MRO  
12.16.99

01-07-2000

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Tab settings → → → ▼

101239111

To the Honorable Commissioner of Patent and Trademark

attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Lance LUNDBERG and Gijs F. J. VAN THIEL

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: December 15, 1999

## 2. Name and address of receiving party(ies):

Name: ICON International Inc.

Internal Address:

Two Stamford Plaza, 8th Floor

Street Address: 281 Tresser Boulevard

City: Stamford State: CT ZIP: 06901

Additional name(s) & address(es) attached? ☐ Yes ☐ No

## 4. Application number(s) or registration numbers(s): 09/465506

If this document is being filed together with a new application, the execution date of the application is: December 15, 1999

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: James W. Jakobsen, Esq.

Internal Address:

Cummings &amp; Lockwood

Four Stamford Plaza

Street Address: 107 Elm Street

P. O. Box 120

City: Stamford State: CT ZIP: 06904

## 6. Total number of applications and patents involved: 1

## 7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

## 8. Deposit account number:

11-0231

01/06/2000 09:00:198 09465506

DO NOT USE THIS SPACE

01 FL:581

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James W. Jakobsen

Name of Person Signing

Signature

December 16, 1999

Date

Total number of pages including cover sheet: 1